Advanced Electronic Records Institute

Decision Making for Action: Policy Development and Implementation

Nancy McGovern

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Decision Making for Action

• Verb form of policy development

• Transparency necessary for TRAC requires:
  – Make decisions
  – Capture decisions
  – Apply decisions
  – Document outcomes
  – Maintain and fill gaps ...
Role of Policies and Documentation

- Builds DP Team – three legs
- Defines institutional commitment
- Demonstrates compliance – requirements
- Manages expectations – stakeholders
- Defines issues and challenges
- Raises awareness – timing
- Identifies roles and responsibilities
Organizational
High-level organizational policies
reflect the intentions of the organization
Lower-level organizational policies
document the decisions of the organization
Individual policy statements
regulate the actions of the organization
Encoded policy statements
translate organization’s policies into actions

Technological
Policies and Procedures

Higher-level examples:
• Appraisal
• Accessioning
• Digital Preservation
• Access

Lower-level examples:
• Roles and Responsibilities
• Appraisal criteria
• Quality Assurance
• Archival Storage
Example: Levels of Policies and Decisions

- Appraisal
  - Appraisal Criteria
    - Appraisal Criterion
      - Appraisal Rule
  - Appraisal Criterion
- Accessioning
  - Quality Assurance
    - Quality Step
      - Quality Rule
- Preservation
  - Archival Storage
    - Storage Statement
      - Storage Rule
- Access
  - Access Constraints
    - Access Statement
      - Access Rule
Digital Preservation Framework

- Version 1: DPM 2003-2006 (components)
- Version 2: DPM 2007-2011 (aligned with TDR)
- Version 3: DPM 2012-on (add curation)
Components of Framework

• Digital Curation Overview
• OAIS compliance
• Administrative responsibility
  – Purpose
  – Mandate
  – Objectives
• Organizational viability
  – Operating principles
  – Roles and responsibilities
  – Selection and Acquisition
  – Scope
  – Access and Use
  – Challenges
Components of Framework

• Financial sustainability
  – Institutional commitment
  – Cooperation and collaboration
• Technological and procedural suitability
• Systems security
• Procedural accountability
  – Audit and transparency
  – Policy framework administration
  – Definitions
  – References
OAIS & Policies

- Submission Agreement
- Physical Access Control
- Administer Database
- Storage Management
- Disaster Recovery
- System Evolution
- Migration Standards
- SIP Design
- Format Standards
- Documentation Standards
Repository Documentation

OAIS examples:
• Policies, e.g., access, disaster planning
• Preservation process history
• Tracking transactions (simple to complex)
• Security Information, e.g., authentication
• Statistical information, e.g., performance
• Customer profiles
• Event-based orders
• Accounting
Documentation Development

- Identify the audience for the documentation
- Determine the level of the document
- Consider who needs to participate – and who needs to know about it – and when
- Start with a straw document then iterative drafts
- Establish a plan that includes being done – remember the power of typos
- Best test for documentation = using it
- Allow time to maintain and update
Connecting the 3 Legs

Source: McGovern, 2005
This page consolidates efforts to define and enhance workflows for the whole of the life cycle to manage digital content effectively.

Background: Here is the current version of the high-level digital content management workflow diagram and here is the initial draft documentation of the Digital Content Management workflow at MIT Libraries is adapting the data processing pipeline documentation is the pilot for the DCM workflow. The resulting DCM workflow definition and documentation is intended to apply to any digital collection. Each workflow stage will include procedural and other exceptions that may be required for specific types of content or in specific contexts as managed and curated by IASC and for digital content in the general and special collections as managed and curated by CSM. A stage.

These are the acronyms on the diagram referred to in the list of steps below:

- **CC** = Content Curators (CSM, IASC, AKDC,...)
- **CPR** = Collections Preservation and Restoring unit in CPS
- **DCP** = Digital Curation and Preservation unit in CPS

**Transform Physical/Analog to Digital stages:**

A1. **Decision to Digitize** - lead: content curators (CC)